

**Statewide Information Management Manual
(SIMM)
Volume II, Guidelines
Guideline 4.0**

PRELIMINARY FEASIBILITY STUDY REPORT GUIDELINES



January 30, 1998



**DEPARTMENT OF INFORMATION TECHNOLOGY
801 "K" STREET, SUITE 2100
SACRAMENTO, CA 95814
FAX: (916) 445-6524
(916) 445-5900**

SIMM: Volume II, Guideline 4.0
PRELIMINARY FEASIBILITY STUDY REPORT GUIDELINES

TABLE OF CONTENTS

SECTION 1: INTRODUCTION TO THE PRE-FSR 1

1.0 OVERVIEW 1

2.0 INSTRUCTIONS FOR COMPLETING THE PRE-FSR FIELDS 1

3.0 ILLUSTRATION: PRE-FSR FORM..... 4

4.0 ILLUSTRATION: PRE-FSR EXECUTIVE APPROVAL TRANSMITTAL 5

5.0 PRE-FSR SUBMISSION CHECKLIST 6

Section 1:

INTRODUCTION TO THE PRELIMINARY FEASIBILITY STUDY REPORT (Pre-FSR)

1.0 OVERVIEW

The Preliminary Feasibility Study Report (Pre-FSR) provides both department management and information technology control agencies the basic information necessary to make a preliminary determination as to whether a proposed project can be supported. A key factor is the project's consistency with the department's business and Strategic IT plans, as well as consistency with the State's strategic direction for information technology.

The Pre-FSR must address:

1. Identification of the proposed project concept.
2. The necessity and justification for the proposed project.
3. High-level proposed implementation plans for the project.
4. Anticipated funding methods and sources.

The information contained in the Pre-FSR will understandably be high-level in nature. However, sufficient information must be provided to enable control agencies to assess the relative merit of the conceptual information technology proposal.

2.0 INSTRUCTIONS FOR COMPLETING THE PRE-FSR FIELDS

The following are guidelines for completion of each item of information contained on the Preliminary Feasibility Study Report (Pre-FSR). Users are not limited to the space on the form and may attach additional documentation as necessary. The DOIT may request additional information if needed to fully assess the project concept and its implications.

1. **Submittal Date:** Enter the date the Pre-FSR is submitted to DOIT.
2. **Submitting Department:** Enter the name of the State department, agency, office, board, commission, or institution that submitted the Pre-FSR and is responsible for the proposal.
3. **Reporting Agency:** Enter the name of the State Agency to which the department reports. If the department does not report through an Agency, enter the name of the governing board or constitutional officer responsible for the department.
4. **Project Title:** Enter the name of the information technology concept proposal as determined by the department.

5. **Check all reporting criteria that apply:** Unless the proposed project is mandated by legislation or will be entirely funded through a grant specific to the proposed activity, a Pre-FSR must be submitted and approved by the DOIT prior to the submission of an FSR for an IT project which meets one or more of the following criteria:
 - a) The project's development schedule, consisting of the analysis, design, programming, testing and integration components, is estimated to exceed one (1) year.
 - b) The total project cost is estimated over \$1 million (\$1,000,000).
 - c) The proposed solution will consist of installation or expansion of wide area network communication facilities or services other than those acquired through contracts administered by the Department of General Services, Telecommunications Division, or a State consolidated data center as defined in SAM Section 4982, and the estimated total project cost exceeds the department's cost delegation.¹
 - d) The project will consist of the development, acquisition or installation of technologies not currently supported by the department or not currently supported by a State consolidated data center, and the estimated total project cost exceeds the department's cost delegation.¹
 - e) The proposed solution will consist of the development and/or purchase of systems to support activities as defined by the DOIT's Enterprise Systems Report.¹
6. **Project Contact:** Enter the name, phone number, and e-mail address of the individual who may be contacted if additional information is required to evaluate the Pre-FSR.
7. **Business Problem:** Briefly describe the business problem to be addressed through implementation of the proposed project concept.
8. **Proposal Objective:** Provide a brief statement of the primary objective of the project concept in terms of the programmatic problem or opportunity to be addressed.
9. **General Description of the Potential Solution:** Provide a brief statement summarizing the potential automated solution to the problem in a concise, non-technical, management-oriented format.
10. **Is the proposed project consistent with the Department's information technology strategy?** Indicate whether the project concept is consistent with the Department's Agency Information Management Strategy (AIMS).

¹ The DOF may or may not be involved in the review of a Pre-FSR.


11. **Is the proposed project referenced in the Department's information technology strategy?** Indicate the appropriate page number in the Department's AIMS..
12. **Estimated Cost:** Enter an estimate of (a) the development and implementation cost of the proposed project concept, and (b) the estimated *annual* cost of maintenance and operations required to support the project concept on a long-term basis.
13. **Planned Funding Source:** Enter the anticipated source of funds for implementation of the proposed project concept; i.e., general fund. Indicate whether the project will be funded through redirection or augmentation; if an augmentation, indicate which fiscal year.
14. **Estimated Benefits:** Enter an estimate of the financial benefits the department expects to accrue as a result of implementation of the proposed project concept.
15. **Estimated Start Date:** Enter an estimate of the month and year that the department plans to initiate the proposed project activity.
16. **Estimated Completion Date:** Enter an estimate of the month and year that the department expects the proposed project to be completed.

3.0 ILLUSTRATION: PRE-FSR FORM

PRELIMINARY FEASIBILITY STUDY REPORT (Pre-FSR)

SUBMITTAL DATE			
SUBMITTING DEPARTMENT			
REPORTING AGENCY			
PROJECT TITLE			
Check all reporting criteria that apply:			
<input type="checkbox"/> Development schedule exceeds one year			
<input type="checkbox"/> Total project cost greater than \$1 million			
<input type="checkbox"/> WAN installation/expansion through other than DGS or data center: exceeds cost threshold			
<input type="checkbox"/> Technology not currently supported by department or data center: exceeds cost threshold			
<input type="checkbox"/> Enterprise strategy project			
	Name	Phone #	E-mail Address
PROJECT CONTACT			
Business Problem			
Proposal Objective			
General Description of the Potential Solution			
Is the proposed project consistent with the Department's information technology strategy?			
Is the proposed project referenced in the Department's current AIMS?		Page #	
	One-time	Annual Continuing	
Estimated Cost	\$	\$	
Planned Funding Source			
	Redirection? Y / N	Augmentation? Y / N FY:	
Estimated Benefits	\$		
Estimated Start Date			
Estimated Completion Date			

4.0 ILLUSTRATION: PRE-FSR EXECUTIVE APPROVAL TRANSMITTAL

INFORMATION TECHNOLOGY PROJECT REQUEST		
Preliminary Feasibility Study Report Executive Approval Transmittal		
Department Name		
Project Title (maximum of 75 characters)		
Project Acronym		
APPROVAL SIGNATURES		
<p>I am submitting the attached Preliminary Feasibility Study Report (Pre-FSR) in support of our request for the DOIT's approval to undertake a feasibility study in support of a proposed project.</p> <p>I certify that the Pre-FSR was prepared in accordance with State Administrative Manual Sections ____-____ and that the project concept is consistent with our information technology strategy as expressed in our current Agency Information Management Strategy (AIMS).</p> <p>I have reviewed and agree with the information in the attached Preliminary Feasibility Study Report.</p>		
Chief Information Officer		Date Signed
Printed name:		
Budget Officer		Date Signed
Printed name:		
Department Director		Date Signed
Printed name:		
Agency Secretary		Date Signed
[Not applicable]		[Not applicable]
Printed name:		

5.0 PRE-FSR SUBMISSION CHECKLIST

DEPARTMENT OF INFORMATION TECHNOLOGY STATE INFORMATION MANAGEMENT MANUAL PRELIMINARY FEASIBILITY STUDY REPORT: 4.0 SUBMISSION CHECKLIST

The following checklist will be used by the DOIT Pre-FSR Review Analyst to determine if the Pre-FSR package being submitted is complete. If any of the required items are missing, the entire package will be returned to the sender for completion. The Project Manager is responsible for ensuring that the following items are included:

- ☐ 1) Pre-FSR Executive Approval Transmittal – All Signatures included.
- ☐ 2) Completed Pre-FSR Form.